Adult Education Program
Grant Continuation Guidance
July 1, 2015 – June 30, 2016

The Indiana Department of Workforce Development (DWD), Division of Adult, Career and Technical Education oversees the delivery of Adult Education for the State of Indiana. DWD has implemented a comprehensive, regional structure comprised of the following components: foundational-skills development, occupational bridge-program training, academic and career counseling, and related initiatives to assist adults and out-of-school youth.

The goals of the system are: leveraging all available resources toward increasing the capacity of Indiana's adult education system; increasing accessibility to adult education services in areas of the state most in need of these services; meeting and exceeding learner performance goals; creating a seamless transition to postsecondary education and employment; and building an educated and competitive Indiana workforce.

To support delivery of these services, DWD announces the availability of the continuation of state and federal funds to support the regional provision of the services discussed above for the period of July 1, 2015 to June 30, 2016. **Only fiscal agents that received funding for the current program year (July 1, 2014 to June 30, 2015) are eligible to apply for continuation of funds.**

Sections I and II provide guidance on eligibility, formula allocations, fiscal processes, and performance metrics. Changes to these sections are indicated in **bold, red font**. Sections III and IV provide narrative and application requirements. **Applicants should provide <u>updates</u> to the same narrative approved for the previous program year and <u>highlight the updates</u> as described.** (Additional guidance is provided starting on page 9). Submitting the PY14-15 narrative with no identified edits/updates will result in a rejected proposal and loss of funding. All narratives must include updates.

DUE DATE
Applicants must address all requirements. *One hardcopy application* must be **<u>received</u>** at DWD no later than **<u>10am on</u> <u>April 2, 2015</u>**. In addition to a hard copy, **electronic copies of the narrative in Microsoft Word and the budget forms (Forms 2A – 2C) and program staffing table (Form 2D) in Microsoft Excel** must be submitted via email to **AdultEd@dwd.in.gov** by the date and time indicated above. **Additional grant continuation requirements and submission details are included in Section IV.**

EXPLANATION OF TERMS

Provider **-** an organization providing adult education services that pertain to this grant.

Program - approved plan of action and activities aiming at adult education that pertain to this grant.

WIOA – Workforce Innovation and Opportunity Act.

Workforce Preparation Activities - means activities, programs, or services designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education or training, or employment (WIOA, Sec. 203(17)).

Integrated Education and Training (IET) - means a service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement (WIOA, Sec. 203(11)).

Integrated English Literacy and Civics Education (IELC) - AEFLA makes funds available for integrated English literacy and civics education, in combination with integrated education and training activities. As stated in statutory language, the goal of the integrated English literacy and civics education program is to design a program that would: 1) prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency; and (2) integrate with the local workforce development system and its functions to carry out the activities of the program. (WIOA, Sec. 243).

ELL (English Language Learners) – the population whose first language is <u>not</u> English. The program to serve this population is IELC Education.

SECTION I: Program and Fiscal Overview

DWD will issue grants designed to support Adult Education and WorkINdiana programs. Together these grants support DWD's vision of a holistic service delivery. The following sections describe each grant and funding. *As part of this section, each fiscal agent is required to* complete *the following forms: Form 2A – Budget and Cost Analysis Form; Form 2B – Administration Cap Waiver Request, if applicable; Form 2C - Professional Development Budget; Form 2D – Program Staffing Levels.*

A. Adult Education Program

Indiana Adult Education (AE) is a federally and state-funded program that delivers foundational skill instruction in reading, writing, and/or math to adults whose skills are below the 12th grade level. Additionally, AE provides instruction ELL students who cannot speak, read, and/or write the English Language.

Allocation

DWD has *estimated* the allocation of the Workforce Innovation and Opportunity Act (WIOA) Title II and state adult education funds for these activities to each region based on a funding formula that accounts for enrollment in Adult Education, unemployment claimants, and performance. Table 1 below shows the variables, description, and formula weight. See Appendix A – Adult Education Funding Formula and Allocation for each region's *estimated* allocation.

Table 1: Adult Education Formula Allocation

Variable	Description	Weight
% of Statewide Enrollment	• Enrollments from PY 2013 (July 1, 2013 - June 30, 2014) from NRS Table 4 • Enrollments from PY 2014 to date (July 1, 2014 – December 31, 2014) from NRS Table 4	40%
% UI Claimants	• Calendar year 2013 UI Claimants without a credential ages 18-44 • Source: DWD Claimant Pool Analysis	10%
% Reimbursements Earned for Outcomes	• Reimbursements earned less enrollments ($60) and EL Civics according to the Adult Education Reimbursement Schedule for PY 2013 and PY 2014 to December 31, 2014.	50%

Regions may also be eligible for a performance allocation if they earn points associated with the outcomes according to the Adult Education Performance Incentive Schedule, which is included in Appendix C – Performance Incentive Schedule. The amount of performance points earned will be determined through the Performance Incentive Schedule and will be awarded for the 2015-2016 program year during the 2016-2017 program year. Guidance regarding the use and budgeting of performance dollars will be given to regions once they become eligible for such funding.

Maintenance of Effort

For the State to achieve and maintain the necessary non-federal expenditure on an equitable basis, DWD requires each region to contribute local maintenance of effort against federal funds. This level is included in Appendix A under the heading "FY16" under the column labeled "MOE." Maintenance of effort can include the following types of resources:

- Any non-federal or non-state funds that are used to provide adult education services. This does not include costs related to high school equivalency testing services.
- In-kind contributions to adult education services such as facility/office space costs, utilities, custodial services, copying and printing costs, phones and other technology costs.
- Cost of staff time spent on AE related services to the adult education program paid from other non-federal or non-AE state funds. These costs may be pro-rated by percentage of time used to provide adult education program related services.

The expenditures must be documented and that documentation must be kept with the fiscal records of the program for the purposes of an audit.

Budget & Cost Analysis

Each regional fiscal agent must submit a budget and cost analysis for state and federal funds by filling out Form 2A. Form 2A - Budget and Cost Analysis has detailed budget categories and subcategories for both program and administrative costs. Fiscal agents must categorize costs on this form into program (instructional), administrative (non-instructional), institutional (jail) program or maintenance of effort. State and federal funds can be used in the same manner. State funds should be used for line items that will be expended first.

Program (instructional) costs have a direct and immediate benefit to the participant and are incurred in direct instruction. Examples include instructional staff salaries, instructional materials and supplies, instructional software, classroom fixtures/space, and costs associated with data collection and processing relative to individual students.

Administrative (non-instructional) costs are for planning, administration, personnel development and interagency coordination per Section 233(a)(2) of the Workforce Innovation and Opportunity Act (WIOA). These costs may not exceed 5% in state and federal funds unless a waiver is submitted with appropriate justification (See Form 2B—Administration Cap Waiver Request), in which case costs may go up to 15% of state and federal funds. Costs that fall under this category relate to the following activities: administration, program management, fiscal, clerical, advertising, and professional development.

Funds spent on classes in an institutional (jail) program must be tracked separately in Form 2A. State funds must be used for these programs.

Professional Development

Each region shall use a portion of the allocated Federal Leadership funds for the purpose of professional development.

Professional development funds must be budgeted separately on Form 2C – Professional Development Budget. Due to each region having multiple providers, the total amount from all Form 2Cs, should correspond to the Professional Development section on each fiscal agent's Form 2A. Professional Development funds should be used primarily to attend DWD sponsored events or other conferences of state or national significance such as the IAACE conference and the COABE conference. Funds also may be used for regional professional development initiatives. All professional development must align with the DWD Adult Education Professional Development policy. Attendance and costs related to Professional Development must be tracked and reported quarterly to the DWD Professional Development Manager. This includes both DWD and non-DWD sponsored Professional Development events. Additional guidance will be issued. Although DWD does not require a specific percentage of Federal Leadership dollars be spent on professional development, providers must ensure that all staff who teach a minimum of

nine (9) hours per week must attend a minimum of one (1) DWD sponsored initiative per year.

Teachers working full-time in the K-12 system may submit a waiver for this requirement per the DWD Professional Development Policy. The waiver form requires eligible staff to provide the following:

- Title, content, and date of the Professional Development event attended;
- Course or event certificate of completion or Professional Growth Points certificate;
- Explanation of how the non-DWD PD event aligns with DWD PD activities for PY15; and
- Verification of full-time K-12 employment.

Waivers will be reviewed and approved or denied by the DWD Professional Development Manager.

Procurement and Reimbursement Processes

All procurement must follow DWD procurement guidance issued in the Adult Education Funding policy 2013-05 on the DWD website: http://www.in.gov/dwd/files/DWD_Policy_2013-05.pdf. Any equipment or software purchase in excess of $500 requires a state tag according to DWD Policy 2013-01 found here: http://www.in.gov/dwd/files/DWD_Policy_2013-01.pdf.

Fiscal agents may submit reimbursements against the budget form for actual expenditures once a month. Fiscal agents must submit a request for reimbursement every quarter at a minimum. DWD will post a revised reimbursement form on the Adult Education Program Management website.

Audit Responsibilities

Fiscal agents that receive $500,000 or more in federal funds are required to have an outside entity conduct an A-133 audit on an annual basis. An A-133 audit examines compliance with the regulations governing the use of federal funds by grant sub-recipients of federal funds. Fiscal agents must submit either the most recent A-133 or an annual audit electronically with the grant continuation documents. Agencies who do *not* receive $500,000 or more in federal funds are not subject to the specific A-133 audit. All agencies should maintain audit records and submit those to the state upon completion.

B. WorkINdiana

The WorkINdiana training program offers eligible adult education students the opportunity to build their foundational skills or earn a High School Equivalency Diploma (HSED) or high school diploma (HSD) while also earning an industry-recognized occupational training certification or shortly after completion of their adult education program. Individuals who wish to participate in WorkINdiana must meet the following eligibility requirements:

- Currently enrolled in a DWD WIOA Title II Adult Education program or enrolled in a DWD WIA Title II Adult Education program during the previous program year and have a high school diploma or its equivalent;
- Must have a student record in InTERS;

- Enrolled in a DWD WIOA Title I Adult, Dislocated Worker and/or Youth programs;
- Score, at a minimum, a 4th grade level on the TABE in math and reading
- Successfully pass a drug screening test prior to being enrolled in training in accordance with the WIA Participant Drug Screening policy (http://www.in.gov/dwd/files/DWD_Policy_2010-22_01.pdf).

Allocation

To support this program, DWD will grant funds to each local region (i.e., Workforce Investment Board, WIB) using the WorkINdiana formula allocation described in Table 3. These funds will be granted for a term beginning on July 1, 2015 to June 30, 2016. Up to 10% may be used for administration; the region may use a portion of the 10% to supplement regular WIOA Title I funds to ensure that participants using WorkINdiana funds receive case management and academic and career counseling as appropriate. The remaining 90% of grant funds must be dedicated to WorkINdiana vouchers following the grant statement of work (SOW) and any program guidelines and policies.

Table 2: WorkINdiana Formula Allocation

Variable	Description	Weight
% WorkINdiana Enrollment	The number of students enrolled in WorkINdiana per the monthly report for the following timeframes: • PY2013 (July 1, 2013 – June 30, 2014) • PY2014 (July 1, 2014 – December 31, 2014)	40%
% Adult Education Enrollments	• The number of students enrolled in Adult Education from NRS table 4 for the same timeframes.	10%
% Completion	• Of those enrolled in WorkINdiana per the monthly report for the same time frames, the number who completed the program	15%
% Certification	• Of those who completed WorkINdiana per the monthly report for the same time frames, the number who earned a certification	15%
% Placement	• Of those who completed WorkINdiana per the monthly report for the same time frames, the number who were employed	20%

WorkINdiana Vouchers

WorkINdiana vouchers are established to cover tuition costs at approved WorkINdiana programs on behalf of qualified WorkINdiana participants. WorkINdiana programs and tuition costs must be previously approved by DWD and listed on INTraining, the WIOA approved list of training providers. Grantees must submit monthly fiscal reports to DWD and enrollment reports at the request of DWD and as specified in the SOW.

Performance

DWD will continue to monitor WorkINdiana enrollment and performance and may choose to reallocate funds mid-year if performance in a region is not acceptable. In subsequent program years, regional WorkINdiana program enrollment and performance will continue to be a factor in allocating WorkINdiana funds.

Section II. Performance Metrics

At the federal level, the National Reporting System (NRS) has defined measures of student outcomes that include literacy gains, improved English proficiency, and attainment of postsecondary credential and student advancement to further education or employment. The federal Office of Career, Technical, and Adult Education (OCTAE) requires DWD to set Indiana targets for these measures and report performance on them annually. To ensure Indiana meets its OCTAE targets, **DWD is requiring each consortium to establish regional targets for the NRS measures are these summarized in Form 3-Consortium Performance Measures Worksheet.** DWD may negotiate different targets with each region than those proposed.

In addition to the NRS measures, DWD has established eight measures for each consortium listed in Table 4 below. The first two measures of employment have commonalities between WIOA Title I & II, and the first four measures coincide with OCTAE NRS measurements. Regions must set consortium metric targets for the 2015-16 program year that are above levels met in previous years. DWD will track the data in InTERS and will use the target measures as part of the risk analysis conducted to determine the need for future monitoring.

Table 3: DWD Consortium Metrics

Measure	Description (NRS definitions should be considered official where applicable)	Where It Is Tracked
Entered Employment*	Percentage of students who gain employment during or just after exiting Adult Education.	NRS Table 5 measurement
Employment Retention*	Percentage of students who had or gain employment and retain it.	NRS Table 5 measurement
Entered Postsecondary Education/Training*	Percentage of students who enter postsecondary education or training, including WorkINdiana	NRS Table 5 measurement
Obtained High School Diploma or Equivalent*	Percentage of students who obtain high school equivalency	NRS Table 5 measurement
Adult Education Enrollment	Number of students who enroll in adult education	Total Enrollment from NRS Table 4
Enrolled and Completing a Level	Percentage of adult education students who complete a level	Column H from NRS Table 4
Pre- and Post-tested Completing a Level	Percentage of adult education students who are pre and post tested and complete a level	Column H from NRS Table 4B
WorkINdiana Enrollment	Number of students who enroll in WorkINdiana	WorkINdiana monthly report

* These measures are based on the NRS cohort definitions, which can be found at:
http://www.nrsweb.org/docs/ImplementationGuidelines.pdf.

SECTION III: Narrative Requirements

DWD has identified four focus areas for applicants to address in the narrative portion of the application: Consortium Management, WorkINdiana, Adult Education Learner Engagement, and College and Career Readiness. In addition, DWD has added Professional Development as a program area of focus.

There are four sections in the narrative that each consortium must submit that are described in more detail below: 1) new or updated responses to specific questions from each provider; 2) plans for professional development; 3) a reflective analysis of progress made on PY14-15 and plans for 15-16; 4) transition from WIA to WIOA.

1. Responses to Specific Narrative Questions (2 pages per focus area max)

The consortium and AE providers must update or provide new responses for the following specific questions for each focus area. Responses should be made in the same approved narrative from PY14-15 and highlighted or otherwise clearly noted. The Consortium may choose to update responses to any other questions in addition to those required.

Focus Area	Required Response Questions (includes original sub questions)
Consortium Management	A3) How will the consortium work to increase enrollments? A6) How does the consortium evaluate regional and program performance? What specific qualitative data is considered?
WorkINdiana	**Note: An updated Form 5 is not required.** **New:** How will the consortium increase WorkINdiana enrollments of students who are still attending their adult education program?
Adult Education Program Learner Engagement and Completion *Answers should be provided for each provider in the consortium*	C2) Explain the enrollment process for each provider and what parts of managed enrollment are required. **New: C10)** What steps will provider take to adopt and implement the Adult Education College and Career Readiness Standards? http://lincs.ed.gov/publications/pdf/CCRStandardsAdultEd.pdf **New: C11)** Identify provider/programs that have turned students away or use waitlists due to lack of capacity. Identify plan to build capacity to meet full need of the region. **New: C12)** Do providers/programs collect income or fees for any purpose? If so, for what? Provider must provide the fee schedule if applicable, and follow DWD policy 2013-05. (http://www.in.gov/dwd/files/DWD_Policy_2013-05.pdf)
College and Career Readiness *Answers should be provided for each provider in the consortium*	D1) What specific instructional or support strategies do programs use to prepare students for postsecondary education/training? How will provider incorporate more strategies this year?

2. Professional Development (1 page per program max)

Professional Development (PD) is critical to ensuring teacher, administrator, and program effectiveness. It is also of particular importance as Indiana's Adult Education system continues to implement the College and Career Readiness standards for Adult Education and as we continue to move towards holistic standards based system. A calendar of professional development offered through DWD is in Appendix D – DWD Professional Development Calendar.

Each provider must respond to the questions below when outlining its professional development activities for the year. The professional development budget (Form 2C) should reflect all of the activities planned for the year. Providers and staff that are identified as lower performing are required to have a PD plan in place, which should include a partnership/mentorship component.

> E1: What are the greatest PD needs of staff? What data is used to help determine this? How will providers work to meet these needs during the 2015-16 program year?
> E2: How will providers use professional development opportunities to begin to implement the CCR standards?

3. Provider Reflective Analysis & Consortium Plan

Each provider must provide a reflective analysis on the PY14-15 proposal accepted by DWD and a plan for PY 15-16. The analysis should be written by the provider, and then reviewed by the consortium to ensure alignment with consortia goals. The analysis should be no longer than two (2) pages for each provider. The consortium must also provide plan for the region as a whole (2 pages).

The analysis should provide answers to the following questions:

Provider Reflective Analysis 14-15 *(2 pages per provider):*
1. What parts of the implementation of the regional plan has gone well?
2. What has succeeded?
3. What parts of the implementation have not gone as planned and why?
4. What challenges have slowed or halted implementation?

Consortium Plan for PY 15-16 *(2 pages for plan)*:
1. What adjustments or new plans will the consortium make for PY 15-16?
2. What are the expected outcomes of these plans?
3. What challenge might be encountered in implementing plans for PY 15-16?
4. What steps will be taken to minimize and mitigate them?

4. Transition Activities from WIA to WIOA (2 pages per provider max)

Program year 15-16 is a transition year from WIA to WIOA legislation which takes effect on July 1, 2015. WIOA will help job seekers and workers access employment, education, training, and support services to succeed in the labor market and match employers with skilled workers they need to compete in the global economy.

WIOA expands the purpose of adult education to emphasize that activities should increase an individual's ability to transition to postsecondary education or obtain employment. In the transition year 2015-2016, the providers have the opportunity to prepare for full implementation of WIOA PY 16-17. In addressing the transition activities plan, each provider must respond to the questions below.

Under WIOA, the definition of *adult education and literacy activities* means programs, activities, and services that include adult education, literacy, workplace adult education and literacy activities, family literacy activities, English language acquisition activities, integrated English literacy and civics education (IELC), workforce preparation activities, or integrated education and training (IET).

Workforce Preparation Activities - means activities, programs, or services designed to help an individual acquire a combination of basic academic skills, critical thinking skills, digital literacy skills, and self-management skills, including competencies in utilizing resources, using information, working with others, understanding systems, and obtaining skills necessary for successful transition into and completion of postsecondary education or training, or employment (WIOA, Sec. 203(17)).

Integrated Education and Training (IET) - means a service approach that provides adult education and literacy activities concurrently and contextually with workforce preparation activities and workforce training for a specific occupation or occupational cluster for the purpose of educational and career advancement (WIOA, Sec. 203(11)).

Integrated English Literacy and Civics Education (IELC) - AEFLA makes funds available for integrated English literacy and civics education, in combination with integrated education and training activities. As stated in statutory language, the goal of the integrated English literacy and civics education program is to design a program that would: 1) prepare adults who are English language learners for, and place such adults in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency; and (2) integrate with the local workforce development system and its functions to carry out the activities of the program. (WIOA, Sec. 243).

Questions to be addressed:
1. How are you providing the above activities? Please list a response for each of the three activities.
2. If you are not currently providing the above, how do you plan to implement the above activities in PY15-16?
3. WIOA expands their definition of youth to encompass the population between 16 and 24 years of age. How do you plan on developing or strengthening your partnership with WIA funded youth programs?

SECTION IV: Grant Submission Guidelines

A. Application Format

Applications must be typed, single spaced in size 12 font with 1" margins on 8 ½" by 11" paper with all pages sequentially numbered and the Consortium Region number at the top of every page. The narrative must conform to page-length requirements noted for each part of the narrative. Each part of the narrative should keep the page limit indicated. The analysis should be clearly indicated for each focus area (Consortium Management; WorkINdiana; Learner Engagement and Completion; College and Career Readiness). Applicants must respond to each required question in order and in the format required. Each response should be numbered to reflect the section, question, and sub-question.

Required forms do not count against the page limitation and are not required to have page numbers. The first page must be Form 1 – Grant Continuation Cover Sheet. A Grant Continuation Checklist is provided and should be the second page of the grant package. Please submit all documents in the order listed on the Grant Continuation Checklist. IMPORTANT: please provide the signatures on your documents in BLUE INK only (Grant Continuation Checklist; Form 4-Assurances; Form 2B – Administration Cap Waiver Request /optional/). Please note: in the upper right corner on Forms 2A-2D you will need to indicate the date of submission, as well as if your submission is an original or a revision.

B. Submission Requirements

Applicants must address all requirements and *one hardcopy application* must be **received** at the Indiana Department of Workforce Development **by 10am on April 2, 2015**. Please note that DWD must receive applications by this deadline, i.e. this is not the postmark date. DWD will not accept faxed copies. Applications should be sent to:

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Attn: Donna Lovelady
Indiana Department of Workforce Development, Adult Education
10 N. Senate Ave., SE 203
Indianapolis, IN 46204

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In addition to a hard copy, *electronic copies* **of the narrative (in Word format) and the budget forms (in Excel format) must be submitted via email** to **AdultEd@dwd.in.gov.** The most recent audit should be sent electronically only. The subject line of the email should be styled as "Region [#] AE Grant Continuation Submission PY15-16" (e.g., Region 5 AE Grant Submission).

A confirmation email will be sent when *both* the electronic and hardcopy versions of the application are received. Use the Grant Continuation Checklist to check that all components have been submitted.

C. Technical Assistance

Questions about this grant opportunity may be addressed to the Regional Adult Education Coordinator or **AdultEd@dwd.in.gov**.
A webinar to discuss the grant continuation requirements is scheduled for Wednesday, February 18, 2015 from 1:00 pm – 3:00 pm EST. A recording of the webinar will be made available afterwards at:
http://www.in.gov/dwd/adultedadmin/grants.htm.

SECTION V: Forms and Appendices

A. Forms

    2015 Grant Continuation Checklist (one per grant continuation proposal)

    Form 1 – Grant Continuation Cover Sheet (one per fiscal agent)

    Form 2A – Budget and Cost Analysis (one per fiscal agent)

    Form 2B – Administration Cap Waiver Request (as needed, by fiscal agent)

    Form 2C – Professional Development Budget (one per fiscal agent)

    Form 2D – Program Staffing Table (one per Adult Education program)

    Form 3 – Consortium Performance Measures Worksheet

    Form 4 – Assurances (one per fiscal agent)

    Form 5 – Authors list

B. Appendices

    Appendix A – Adult Education Formula and Allocation

    Appendix C – Performance Incentive Schedule

    Appendix D – DWD Professional Development Calendar

    Appendix E – WorkINdiana Certification Framework